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PTO/SB/21 (8-00)

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Patent and Trademark Office U.S. Department of Commerce

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TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number	10/008,269
Filing Date	November 8, 2001
First Named Inventor	Sanjay Deshpande et al.
Group Art Unit	2164
Examiner Name	Not yet assigned
Attorney Docket Number	4797-65

COPY OF PAPERS
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ENCLOSURES (check all that apply)

- ☐ Fee Transmittal Form
- ☐ Fee Attached
- ☐ Petitions to the Commissioner
- ☒ Request For Corrected Filing Receipt With A Copy Of the Official Receipt
- ☐ Amendment/Reply
 - ☐ After Final
 - ☐ Affidavits/declaration(s)
- ☐ Extension of Time Request
- ☐ Information Disclosure Statement
 - ☐ Form PTO-1449 ___ References
- ☐ Certified Copy of Priority Document(s)
- ☐ Response to Missing Parts/Incomplete Application
 - ☐ Response to Missing Parts under 37 CFR 1.52 or 1.53
- ☐ Petition to Make Special
- ☐ Statement pertaining to pre-examination search; and
- ☐ Detailed discussion of the references submitted with the Information Disclosure Statement

- ☐ Assignment Papers (for an Application)
- ☐ Drawing(s) - ___ Sheets
- ☐ Licensing-related Papers
- ☐ Petition
- ☐ Petition Routing Slip (PTO/SB/69) and Accompanying Petition
- ☐ Petition to Convert to a Provisional Application
- ☐ Power of Attorney, Revocation Change of Correspondence Address
- ☐ Terminal Disclaimer
- ☐ Small Entity Statement
- ☐ Request for Refund
- ☐ CD, Number of CD(s) _____
- ☐ Express Abandonment Request

- ☐ After Allowance Communication to Group
- ☐ Appeal Communication to Board of Appeals and Interferences
- ☐ Appeal Communication Group (Appeal Notice, Brief, Reply Brief)
- ☐ Proprietary Information
- ☐ Status Letter
- ☐ Withdrawal of attorney as Attorney or Agent
- ☒ Other Enclosure(s) (please identify below):

Copy of originally filed postcard, certification of mailing, and Patent application transmittal form showing filing date of November 8, 2001
Return Receipt Postcard

Remarks

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SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Leslie Gladstone Restaino, Reg. No. 38,893
Signature	<i>Leslie Gladstone Restaino</i>
Date	February 1, 2002

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, DC 20231 on this date

February 1, 2002

Type or printed name Marcy H. Mancuso

Signature

Marcy H. Mancuso

Date

February 1, 2002

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FEB 22 2002

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U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 4797-65
First Inventor Sanjay Deshpande
Title System and Method for Enabling Content Providers in a Financial Services Organization to Self-publish Content
Express Mail Label No. EK05131836230US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO: Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original, and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 30]
(preferred arrangement as set forth below)
- Descriptive title of the Invention
- Cross References to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference to sequence listing, a table, or a computer program listing appendix
- Background of the Invention
- Brief Summary of the Invention
- Brief Description of the Drawings (if filed)
- Detailed Description
- Claim(s)
- Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 25]
[Total Pages 4]
5. Oath or Declaration
a. ☒ Newly executed (original or copy)
b. ☐ Copy from a prior application (37 CFR 1.63(d))
(for continuation/divisional with Box 18 completed)
i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
a. ☐ Computer Readable Form (CRF)
b. Specification Sequence Listing on:
i. ☐ CD-ROM or CD-R (2 copies); or
ii. ☐ paper
c. ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☒ Assignment Papers (cover sheet & documents(s))
10. ☐ 37 CFR 3.73(b) Statement (when there is an assignee) ☒ Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)PTO-1449 ☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. ☐ Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/33 or its equivalent.
17. ☒ Other: Certification of Mailing

18. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

Prior application information: Examiner: _____ of prior application No: _____
Group Art Unit: _____

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

<input type="checkbox"/> Customer Number or Bar Code Label		(Insert Customer No. or Attach bar code label here)		<input checked="" type="checkbox"/> Correspondence address below	
Name	Leslie Gladstone Restaino, Esq.				
Address	Brown Raysman Millstein Felder & Steiner LLP 55 Madison Avenue, 4 th Floor				
City	Morristown	State	NJ	Zip Code	07960
Country	USA	Telephone	973-285-3242	Fax	973-285-3262
Name (Print/Type)	Leslie Gladstone Restaino, Esq.			Registration No. (Attorney/Agent)	38,893
Signature	<i>Leslie Gladstone Restaino</i>			Date	November 8, 2001

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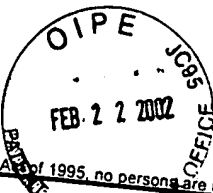
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FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$) 996.00

Approved for use through 10/31/2002. OMB 06: PTO/SB/17
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Complete if Known

Application Number	not yet assigned
Filing Date	concurrently herewith
First Named Inventor	Sanjay Deshpande
Examiner Name	
Group Art Unit	to be assigned
Attorney Docket No.	4797-65

METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number 02-4270

Deposit Account Name Brown Raysman Millstein Felder & Steiner LLP

- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17
☐ Applicant claims small entity status. See 37 CFR 1.27

2. ☐ Payment Enclosed:

☐ Check ☐ Credit card ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

Large Entity	Small Entity	Fee Code	Fee (\$)	Fee Description
--------------	--------------	----------	----------	-----------------

101	740	201	370	Utility filing fee
106	330	206	165	Design filing fee
107	510	207	255	Plant filing fee
108	740	208	370	Reissue filing fee
114	160	214	80	Provisional filing fee

Fee Paid

740.00

SUBTOTAL (1) (\$) 740.00

2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
32	20** = 12	18.00	216.00
3	3** = 0	84.00	0.00

Large Entity	Small Entity	Fee Code	Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	84	202	42	Independent claims in excess of 3
104	280	204	140	Multiple dependent claim, if not paid
109	84	209	42	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$) 216.00

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

Large Entity	Small Entity	Fee Code	Fee (\$)	Fee Description
105	130	205	65	Surcharge - late filing fee or oath
127	50	227	25	Surcharge - late provisional filing fee or cover sheet
139	130	139	130	Non-English specification
147	2,520	147	2,520	For filing a request for ex parte reexamination
112	920*	112	920*	Requesting publication of SIR prior to Examiner action
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action
115	110	215	55	Extension for reply within first month
116	400	216	200	Extension for reply within second month
117	920	217	460	Extension for reply within third month
118	1,440	218	720	Extension for reply within fourth month
128	1,960	228	980	Extension for reply within fifth month
119	320	219	160	Notice of Appeal
120	320	220	160	Filing a brief in support of an appeal
121	280	221	140	Request for oral hearing
138	1,510	138	1,510	Petition to institute a public use proceeding
140	110	240	55	Petition to revive - unavoidable
141	1,280	241	640	Petition to revive - unintentional
142	1,280	242	640	Utility issue fee (or reissue)
143	460	243	230	Design issue fee
144	620	244	310	Plant issue fee
122	130	122	130	Petitions to the Commissioner
123	50	123	50	Processing fee under 37 CFR 1.17(q)
126	180	126	180	Submission of Information Disclosure Stmt
581	40	581	40	Recording each patent assignment per property (times number of properties)
146	740	246	370	Filing a submission after final rejection (37 CFR § 1.129(a))
149	740	249	370	For each additional invention to be examined (37 CFR § 1.129(b))
179	740	279	370	Request for Continued Examination (RCE)
169	900	169	900	Request for expedited examination of a design application

Other fee (specify)

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) 40.00

SUBMITTED BY

Name (Print/Type) Leslie Gladstone Restaino

Signature *Leslie Gladstone Restaino*

Registration No. (Attorney/Agent) 38,893

Complete (if applicable)

Telephone (973) 285-3242

Date November 8, 2001

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APPLICATION NUMBER	FILING DATE	FIRST NAMED APPLICANT	ATTY. DOCKET NO./TITLE
10/008,269	12/10/2001	Sanjay Deshpande	4797-65

CONFIRMATION NO. 2616



OC000000007602403

Leslie Gladstone Restanio, Esq.
Brown Raysman Millstein Felder & Steiner LLP
4th Floor
55 Madison Avenue
Morristown, NJ 07960

Date Mailed: 03/07/2002

RESPONSE TO REQUEST FOR CORRECTED FILING RECEIPT

Application Filing Date

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In response to your request for a corrected Filing Receipt, the Office can not comply with your request because:

☐ If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, a petition to accord a filing date should be submitted along with a copy of the Express Mail label showing the "date in" and be directed to the Office of Petitions.

☒ A copy of the Express Mail label was not enclosed with your request. Petitions under 37 CFR 1.10 require a copy of the Express Mail Label to be submitted.

☐ The "date in" on the Express Mail label is the date given on the Filing Receipt.

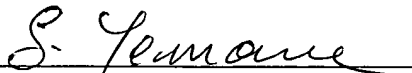
☐ The filing date accorded to the application is the date the application met the filing date requirements of 37 CFR 1.53(b) or (c).

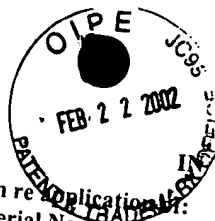
☐ Applications submitted with a certificate of mailing under 37 CFR 1.8 are accorded a filing date as of the date the application is received in the U.S. Patent and Trademark Office. A request to review the filing date accorded to the application must be in the form of a petition.

☐ The filing date on your return postcard is the same as the date on your Filing Receipt. A request to review the filing date accorded to the application must be in the form of a petition.

A petition under 37 CFR 1.10, 37 CFR 1.53 or 37 CFR 1.182 is needed to request a change to the filing date. A \$130 petition fee is required for a petition under 1.53 or 1.182. If you choose to file a petition, the petition and the \$130 petition fee, if any, to:

Box DAC
Commissioner for Patents
Washington, DC 20231


Customer Service Center
Initial Patent Examination Division
(703) 308-1202



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

PATENT

In re Application No. 10/008,269
Serial No. 10/008,269
Filed: November 8, 2001
For: System and Method for Enabling Content Providers in a Financial Services Organization to Self-Publish Content

Docket No.: 4797-65
Group No.: 2164
Examiner: Not yet assigned

Assistant Commissioner for Patents
Washington, D.C. 20231

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REQUEST FOR CORRECTED FILING RECEIPT

1. Attached is a copy of the official filing receipt received from the PTO in the above application for which issuance of a corrected filing receipt is respectfully requested.
2. There is an error with respect to the following data, which is:

☒ incorrectly entered

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and/or

Error in

1. ☐ Applicant's name
2. ☐ Applicant's address
3. ☐ Title
4. ☒ Filing Date
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Reg. No.: 38,893

Tel. No.: (973) 285-3242

Customer No.:

Leslie Gladstone Restaino
SIGNATURE OF PRACTITIONER

Leslie Gladstone Restaino
(type or print name of practitioner)

Brown Raysman Millstein Felder & Steiner LLP

55 Madison Avenue

Morristown, New Jersey 07960

CERTIFICATE OF MAILING/TRANSMISSION (37 C.F.R. 1.8a)

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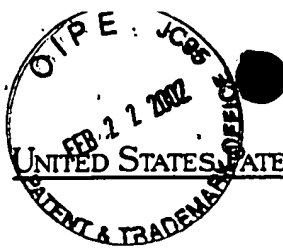
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Date: February 1, 2002

Marcy Mancuso
Signature
Marcy Mancuso

(type or print name of person certifying)



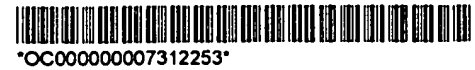
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APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
10/008,269	12/10/2001	2164	956	4797-65	25	32	3

CONFIRMATION NO. 2616

FILING RECEIPT



OC000000007312253

Leslie Gladstone Restanio, Esq.
Brown Raysman Millstein Felder & Steiner LLP
4th Floor
55 Madison Avenue
Morristown, NJ 07960

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Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Sanjay Deshpande, Emerson, NJ;
Meaghan C. Williams, Chatham, NJ;
Kitty C. Chen, Manhasset, NY;
Ajoy C. Banerjee, New York, NY;

Domestic Priority data as claimed by applicant

Foreign Applications

If Required, Foreign Filing License Granted 01/15/2002

Projected Publication Date: 06/12/2003

Non-Publication Request: No

Early Publication Request: No

Title

System and method for enabling content providers in a financial services organization to self-publish content

Preliminary Class

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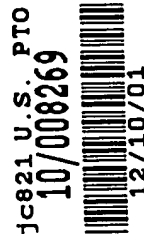
Serial No.: Not Yet Assigned

Filed: Concurrently Herewith

Title: **SYSTEM AND METHOD FOR ENABLING CONTENT PROVIDERS
IN A FINANCIAL SERVICES ORGANIZATION TO SELF-PUBLISH
CONTENT**

By Express Mail No. EK051318362US

1. Certification of Express Mailing (1 page)
2. Utility Patent Application Transmittal Letter (1 page)
3. Fee Transmittal Sheet (Original and duplicate for fee processing)
4. Specification (30 pages)
5. Drawings (25 sheets)
6. Declaration For Patent Application (4 pages)
7. Recordation Form Cover Sheet and 4 Assignments (5 pages)
8. Return receipt postcard



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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:
Attorney Docket No.:
For:

Sanjay Deshpande et al.
4797-65
**System and Method for Enabling Content
Providers in a Financial Services Organization
To Self-publish Content**



55 Madison Avenue
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November 8, 2001

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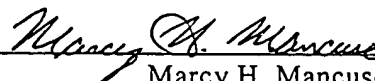
I hereby certify that this paper, bearing Express Mailing Label No. EK051318362US, together with the accompanying papers directed to the above identified Utility Patent Application are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and are addressed to Box Patent Application, Assistant Commissioner for Patents, Washington, D.C. 20231.

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